

Performance Elements and Standards Implementation

Non-Supervisory Employees
Briefing
February 4, 2004

Glenn Research Center

at Lewis Field



Agenda

- Background
- NASA Performance Culture Pillar Improvement Initiative
- EPCS Requirements
- GRC Implementation of Improvement Initiative
- New Elements/Standards
- Appraisal Process
- Responsibilities
- Resources



Background

- **President's Management Agenda (PMA)** established a strategy for improving the management and performance of the Federal Government
- **NASA Developed An Action Plan to “Get to Green” on PMA Areas**
 - Established NASA Strategic Human Capital Plan (SHCP) and NASA Strategic Human Capital Implementation Plan (SHCIP) and obtained OMB approval
 - Adopted OPM “Proud to Be” Goal by July 1, 2004:
 - Initiate performance appraisals for SES and managers linked to Agency mission
 - To be cascaded throughout more than 60% of the Agency



Background

- **NASA SHCP Consists of**
 - Five Human Capital Pillars
 - Strategic Alignment
 - Strategic competencies
 - Learning
 - Performance Culture
 - Leadership
 - Goals
 - Problems
 - Improvement Initiatives
 - Intended Outcomes/Results



Background

- Performance Culture Pillar
 - Goal: Achieve excellence by valuing and recognizing performance in an environment in which all employees feel encouraged to contribute.
 - Problem:
 - Performance expectations are often ambiguous (e.g., accountability, effort versus results, etc.)
 - Perception is Agency fails to deal adequately with poor performance
 - Improvement Initiative: Assure agency-wide performance management system focuses on accountability for results.
 - Expected Outcome:
 - Improved personal and organizational performance.
 - Enhanced mission success through more effective use of the diverse talents of workforce.



Background

- SHCIP Objective: Determine alignment of NASA's human capital strategy with its mission, goals, and organizational objectives
- SHCIP Metric: On an Agency-wide basis, NASA achieves an overall satisfaction level on survey responses
 - Performance management system is effective in identifying poor performance.
 - Performance management system is effective in taking steps to improve performance.



NASA Performance Culture Pillar Improvement Initiative

- Administrator initiated performance criteria for NASA SES managers
 - President's Management Agenda
 - Health of NASA (commitment to safety)
 - Equal Opportunity and Diversity
 - Collaboration (One-NASA)
 - Professional Development
 - Meets Program Objectives
 - Implements Fair and Equitable Performance Based Evaluation System Within Organization



NASA Performance Culture Pillar Improvement Initiative

- NASA developed elements/standards for use in Non-SES supervisory plans
 - Strategic Alignment
 - Health and Safety
 - Human Capital Management
 - Equal Opportunity and Diversity
 - Collaboration and Teamwork
 - Learning
 - Program Management



NASA Performance Culture Pillar Improvement Initiative

- NASA developed elements/standards for use in non-supervisory plans
 - Cascade SES performance criteria to remainder of workforce to ensure alignment with Agency's goals and objectives
 - Performance expectations are clearly communicated to leaders and employees alike
 - All employees understand how their assignments contribute to the achievement of the Agency's goal
 - Both the SES performance management system and the EPCS focus on accountability for results
- Center's instructed to implement new elements/standards
- Employee Performance Communication System (EPCS) requirements remain unchanged



EPCS Requirements

- 2 Summary rating levels
 - Meets Expectations
 - Fails to Meet Expectations
- 2 Element rating levels
- Only critical elements
- At least 1 element linked to strategic plan
- No higher level review of performance plan
- No higher level review of rating unless rating is unacceptable
- Employees with “meets expectations” rating eligible for awards



EPCS Requirements

- 90 day minimum appraisal period
- Written performance plan established at beginning of appraisal cycle (within 30 days)
- Minimum of 1 progress review
- Narrative summary required



GRC EPCS Requirements

- Appraisal period for non-SES/ST employees is Feb 1 – Jan 31
- Performance plans must be in place by March 15
- Rating must be completed by March 15
- One form used for all non-SES employees (C-160)
- Communication worksheet developed for use to facilitate discussions (C-160a) - optional



NASA Improvement Initiative GRC Implementation

- Effective with appraisal cycle beginning February 1, 2004 required elements/standards will be used
- Plans must also include at least 1 sub-element or additional element to reflect specific work requirements



NASA Improvement Initiative GRC Implementation

- New Performance Appraisal Form (C-160) was developed and will be used for Feb 1, 2004 cycle
 - Pre-populated with established elements/standards
 - Area for sub-elements and additional elements
 - Comment area for each elements (optional)
 - Link to awards recommendation form
 - Instructions for completion included on the form



NASA Improvement Initiative GRC Implementation

- Information on new initiative
 - Employee and supervisory written notification published on Today@Glenn
 - Employee briefing session on New Elements/Standards (Feb 4)
 - Mandatory Supervisory Training (Feb 9, 17, 26)
- Additional supervisory training to be held
 - Mandatory Coaching/Feedback skills enhancement workshops
 - How to Deal with Poor Performers
 - How to Recognize Exceptional Performance



New Employee Elements/Standards

- Reflect Agency Key Values
 - Commitment to Safety
 - Respect for People
 - Commitment to Excellence
 - Integrity



New Elements/Standards Application

- Standards are written at “Meets Expectations” level – describes the level of performance needed to retain an employee in his/her job
- To attain “meets expectations” rating, supervisor must be generally satisfied
 - the employee has met each of the specific standards listed and
 - Employee has had an opportunity to exercise judgment or demonstrate successful performance in element
- If no opportunity to perform the element, the element is not rated



New Employee Elements/Standards

Element 1: Commitment to Safety

- Supervisor is generally satisfied that decisions and actions demonstrate commitment to **Safety**.
The employee:
 - Demonstrates safe/healthy work practices & complies with applicable regulations, policies, procedures
 - Participates in safety activities, as directed
 - To extent possible, takes action to protect and ensure health/safety of others
 - Report conditions that appear to be unsafe
 - Assist to correct unsafe conditions



New Employee Elements/Standards

Element 2: Respect for People

- Supervisor is generally satisfied that decisions and actions demonstrate respect for individual and cultural differences, collaboration with others, and commitment to One NASA. The employee:
 - Is courteous and respectful when interacting with others
 - Shares knowledge to accomplish tasks/projects with NASA-wide approach and benefit
 - Promotes One-NASA concept through cooperation and teamwork across Centers and organizational boundaries



New Employee Elements/Standards

Element 3: Commitment to Excellence

- Supervisor is generally satisfied that decisions and actions demonstrate commitment & personal responsibility to strive for excellence. The employee:
 - Accomplishes work assignments in efficient/effective manner
 - Completed on or before deadlines
 - Quality of work meets or exceeds expectations and major revisions are rarely necessary
 - Efforts are made to identify opportunities for improvement or participate in improvement efforts



New Employee Elements/Standards

Element 3: Commitment to Excellence

- Takes and successfully completes required training
- With supervisory assistance, assesses and identifies training and development needs and requirements
 - To maintain and/or enhance current job-related skills, abilities, and competencies and/or
 - To develop or enhance performance and abilities to meet future agency needs by identifying and participating in developmental assignments or learning opportunities (if appropriate for level of position or individual)



New Employee Elements/Standards

Element 4: Integrity

- Supervisor is generally satisfied that the employee:
 - Performs assigned work consistent with and contributes to achievement of organization's goals and objectives and Strategic plan
 - Responsive to needs of internal and external customers



Appraisal Process

Focus on Communication

- Performance Planning – supervisor communicates expectations to employee
- Performance Monitoring – supervisor provides feedback to employee and, as necessary, updates plan
- Performance Assessment – supervisor evaluates employee's performance by comparing performance with performance standards



Appraisal Process

Focus on Communication

- Performance Planning
 - Performance plan must include
 - Agency-wide elements/standards and
 - At least 1 additional sub-element to reflect specific assigned job tasks/projects related to duties in PD or
 - 1 additional element/standard to reflect specific assigned job tasks/projects related to duties in PD



Appraisal Process

Focus on Communication

- Performance Planning
 - Employees should be encouraged to participate in plan development
 - Developed collaboratively with supervisor
 - Drafting plan for supervisor's consideration
 - Commenting on drafted plan



Appraisal Process

Focus on Communication

- Performance Planning
 - Purpose of plan is to convey performance expectations
 - What is meant by elements/standards
 - How elements/standards relate to goals
 - How standards can be met/exceeded
 - How elements will be measured



Appraisal Process

Focus on Communication

- Performance Monitoring
 - Ongoing feedback is recommended
 - One Documented Progress Review is required
 - Accomplishments under performance plan
 - Problem areas and suggestions for improvement
 - Growth/Development opportunities
 - Update plan, as necessary



Appraisal Process

Focus on Communication

- Performance Assessment
 - Supervisors gather and review information on employee's performance (including obtaining input from employee)
 - Each element is rated
 - Summary rating is assigned
 - Meets Expectations
 - Fails to Meet Expectations



Appraisal Process

Focus on Communication

- Narrative summary documents significant aspects of total job performance and rationale for rating
 - Accomplishments resulting in substantial or exceptional contributions
 - Problem areas or areas for improvement
- Feedback session is held to discuss rating – C-160a may be used
 - Achievements/Strengths
 - Areas for improvement
 - Growth/Development recommendations



Employee Responsibilities

- Providing input to supervisors during performance plan development
- Participating in
 - performance planning discussions
 - progress reviews
 - assessment/feedback sessions
- Keeping supervisor informed of performance activities
- Working in accordance with performance standards



Supervisors Responsibilities

- Establishing performance plan
- Conducting performance review
- Assessing performance
 - Gathering information
 - Completing performance form
 - Discussing performance appraisal with employee
- Recommending awards, as appropriate
- Taking appropriate corrective actions if there are performance deficiencies
- Identifying growth/development needs and assigning appropriate job-related training



Resources

- NPR 3430.1, NASA Employee Performance Communication System
- GLPD 3430.1, GRC Performance Management Program for Non-SES Employees
- GLPG 3430.1, EPCS at GRC
- GRC-P3.3.5, Individual Performance Evaluation
- Glenn Bulletin to Employees dated January 28, 2004, Subject: Implementation of Agencywide Performance Elements and Standards

